

U.S. Department
of Transportation

United States
Coast Guard



Commandant
United States Coast Guard

2100 Second Street, S.W.
Washington, DC 20593-0001
(202) 426-1070

COMDTINST M16755.2
APR 16 1984

COMMANDANT INSTRUCTION M16755.2

Subj: Financial Assistance Program for National Nonprofit Public Service Organizations

1. PURPOSE. Section 13103(e) of Title 46, United States Code provides that up to 5% of the amounts available for allocation and distribution in a fiscal year from the National Recreational Boating Safety and Facilities Improvement Fund may be used to support "national boating safety activities of national nonprofit public service organizations." This instruction establishes a program for that purpose, compiles relevant Government-wide and program-peculiar requirements and constitutes the standard for its administration.
2. ACTION. Coast Guard administration of financial support for national nonprofit public service organizations will adhere to these standards. The standards will be incorporated by reference in agreements between recipient organizations and the Government and in doing so will define recipient obligations. Copies of this instruction will be provided to interested national nonprofit public service organizations.

/s/ J.A. McDONOUGH, Jr.
Chief, Office of Boating, Public,
and Consumer Affairs

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CHAPTER 1. INTRODUCTION

- A. Purpose. This Instruction establishes standards for Coast Guard and recipient organization administration of the Boating Safety Financial Assistance applicable to the national nonprofit public service organizations (Program 20.005 in the Catalog of Federal Domestic Assistance Programs).
- B. Policy.
1. The objective of the National Recreational Boating Safety Program is to reduce the risk of loss of life, personal injury, and property damage associated with the use of recreational boats on the Nation's waterways. The U.S. Coast Guard works to improve recreational boating safety and to foster greater development, use, and enjoyment of all waters of the United States. Over the past decade, boating safety has steadily improved as evidenced by the 50% reduction in the rate of recreational boating fatalities.
 2. The goal for the National Recreational Boating Safety Program is to further reduce this fatality rate to 6 fatalities per 100,000 boats by 1990. Boating safety activities of national nonprofit public service organizations assist in attaining this objective and financial assistance encourages these organizations to develop more comprehensive boating safety activities.
- C. Authority. 46 U.S.C. 13103(e) provides the Secretary of Transportation with the authority to allocate funds to national nonprofit public service organizations. It stipulates that the Secretary "may allocate not more than 5 percent of the amounts available for allocation and distribution (from the National Recreational Boating Safety and Facilities Improvement Fund) in a fiscal year for national boating safety activities of national nonprofit public service organizations."
- D. Delegation. The Secretary of Transportation delegated the authority to administer the National Recreational Boating Safety Financial Assistance Program to the Commandant of the U.S. Coast Guard. Within the Coast Guard, this authority has been further delegated to the Chief, Office of Boating, Public, and Consumer Affairs.
- E. Controls. In administering the funds appropriated for this program, the U.S. Coast Guard will impose those controls, restrictions, and regulations necessary to assure that organizations expend Federal funds in accordance with the intent of Congress. If any statute expressly prescribes policies or specific requirements that differ from those set forth in this Instruction, the provisions of the statute shall govern.

F. Definitions.

Allocation	The amount of funds set aside for a national nonprofit public service organization from Congressional appropriations under the provisions of 46 U.S.C. 131.
Appropriation	The amount of funds Congress makes available each fiscal year for the purposes of 46 U.S.C. 131.
Approval	The signing of an agreement by an authorized U.S. Coast Guard official that results in the obligation of a specific amount of Federal funds for a specific purpose.
Available Funds	Appropriated funds that are available for allocation. These include (1) funds appropriated for allocation during a given fiscal year; (2) any allocations that were withdrawn because they were unobligated at the end of a three year period; (3) any funds carried forward that were not allocated by the Commandant at the end of the previous fiscal year; and (4) any allocations terminated for convenience by the recipient and returned to the National Recreational Boating Safety and Facilities Improvement Fund.
Commandant	The Commandant of the U.S. Coast Guard.
Department of Transportation	A Cabinet-level Department of the Federal Government. The U.S. Coast Guard is part of this Department except when it is operating as a Service in the Department of the Navy.
Financial Assistance	Funds made available by the Federal Government to support the national boating safety activities of national nonprofit public service organizations.
Fiscal Year	The 12-month period beginning on 1 October and ending on the following 30 September.
National Nonprofit Public Service Organization	A non-governmental organization of national scope or effect that (1) exists to serve the public; (2) is not organized for profit; and (3) uses its net proceeds to maintain, improve, or expand its operations.
OMB	The Office of Management and Budget.

1.F(cont'd)

Project Proposal	An application by a national nonprofit public service organization that describes the objectives of a proposed project and provides a detailed financial plan for the project.
Recipient	A national nonprofit public service organization that receives Federal financial assistance.
Secretary	The Secretary of the Department in which the Coast Guard is operating.
USCG	U. S. Coast Guard.

CHAPTER 2. ELIGIBILITY AND APPLICATION PROCEDURES

A. Criteria.

1. Test for Eligibility. 46 U.S.C. 13103(e) authorizes financial assistance for the national boating safety activities of national nonprofit public service organizations. To qualify, an organization submitting a project proposal must be:
 - a. A non-government organization.
 - b. Accorded or capable of being accorded a tax-exempt status by the Internal Revenue Service in accordance with 26 USC 501(c) (3). (26 CFR 1.501(c) (3)-1 elaborates on the organizational test for exemption.)
 - c. Of national scope or dimension and have the ability to benefit boating safety nationwide.
 - d. Primarily in existence to serve the general public. (Institutions of higher learning generally do not fulfill this and requirement c.)
2. Subcontracts with Profit Organizations. If a profit-making organization will perform a portion of the proposed project, the project proposal shall explicitly describe the activities of the profit-making organization. These activities must be restricted to administrative, clerical or limited technical functions such as consultation services.

B. Application Process.

1. Each fiscal year, the Chief, Office of Boating, Public, and Consumer Affairs will determine the maximum percentage, if any, of the available funds that the USCG will reserve for national boating safety activities of national nonprofit public service organizations. National nonprofit public service organizations meeting the requirements of 2-A-1 can apply for financial assistance by submitting a detailed project proposal together with Standard Form 424 (Exhibit 2-1). The following information should be included in Section IV of the Form. (Use additional sheets if necessary.)
 - a. Brief description of the organization.
 - b. Name of the official representative authorized to sign for the organization.

- 2.B.1.c. A statement that the organization is a national nonprofit public service organization and, if available, its IRS tax exempt organization number (or proof that it is eligible for one).
- d. A specific description of the proposed project which demonstrates the need for assistance and states the objectives and methods of the project. Identify results and benefits to be derived.
- e. A detailed financial plan/proposal. (OMB Circular A-122 details applicable cost principles.)
- (1) Delineate costs for proposed activities sufficient to establish their source.
 - (2) Separately list in the financial plan any expenses of \$300 or more. Items under \$300 can be consolidated by category.
 - (3) Specify proposed rates of compensation for project participants and support staff.
 - (4) The financial plan shall indicate the schedule of payments required from the USCG for the proposed work.
 - (5) List any payments proposed for contracted services.
 - (6) Delineate proposed travel and associated costs.
 - (7) Estimate any publication or distribution costs.
 - (8) Other extraordinary expenses. (See OMB Circular A-122, "Selected items of cost", for examples.)
- f. A schedule of quantitative monthly or quarterly accomplishments. When accomplishments cannot be quantified, list them in chronological order. These accomplishments shall be consistent with the schedule of payments proposed in the financial plan.
- g. Brief resumes of the principal participants in the proposed project(s).
- h. A statement that the project proposal does not contain proprietary information or a statement identifying the information that is considered proprietary.
- i. The name of any government agency which now audits the organization on a regular basis.
2. An organization can submit project proposals that require up to three years to complete. However, most projects would normally be completed in one or two years.

2.B.3. Completed proposals should be submitted directly to:

Commandant (G-BP-1)
U.S. Coast Guard
2100 2nd St., SW
Washington, D. C. 20593
Telephone (202) 426-1052

C. Review. Basically, the USCG will use two criteria - feasibility and impact/cost to rate project proposals.

2.C.1. The USCG will assess a project's feasibility and impact on national recreational boating safety by considering factors as stated in Exhibit 4-1.

D. Agreement. When the USCG notifies an organization of the approval of its project proposal, it will also send an Agreement (Exhibit 2-2) to the organization. The Agreement will indicate the amount of the allocation and stipulate the conditions under which the organization will administer the funds. The project proposal and any supporting documents become a part of the Agreement. The organization will sign the original and two copies of the Agreement and return them to the USCG (G-BP). On execution by both parties, the Agreement constitutes a binding legal obligation between the United States and the organization.

E. Amendment. If an organization must alter the Agreement, it will submit a request for an Amendment (Exhibit 2-3) with a letter that fully explains the changes and how they affect the project. The Amendment becomes a part of the Agreement when it is signed by the USCG.

NOTICES

S2031

OMB Approval No. 29-80218

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	a. NUMBER	3. STATE APPLICATION IDENTIFIER	a. NUMBER
1. TYPE OF ACTION (Mark appropriate box) <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (Opt.) <input type="checkbox"/> REPORT OF FEDERAL ACTION		b. DATE Year month day 19		b. DATE Year month day ASSIGNED 19	
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. State : f. Contact Person (Name & telephone No.) :		c. County : g. ZIP Code		5. FEDERAL EMPLOYER IDENTIFICATION NO. 6. PRO. GRAM (From Federal Catalog) a. NUMBER 2 0 0 0 5 b. TITLE Boating Safety Financial Assistance	
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT		8. TYPE OF APPLICANT/RECIPIENT A-State B-Interstate C-Substate D-District E-City F-School District G-Special Purpose District H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): National, Non-profit, public service organization Enter appropriate letter <input checked="" type="checkbox"/> K		9. TYPE OF ASSISTANCE A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other Enter appropriate letter(s) <input type="checkbox"/> A	
10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.) Nationwide		11. ESTIMATED NUMBER OF PERSONS BENEFITING		12. TYPE OF APPLICATION A-New B-Revision C-Augmentation D-Renewal E-Continuation Enter appropriate letter <input type="checkbox"/> A	
13. PROPOSED FUNDING a. FEDERAL \$ 00 b. APPLICANT 00 c. STATE 00 d. LOCAL 00 e. OTHER 00 f. TOTAL \$ 00		14. CONGRESSIONAL DISTRICTS OF a. APPLICANT b. PROJECT 15. TYPE OF CHANGE (For 13a or 13b) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation F-Other (Specify): N/A Enter appropriate letter(s) <input type="checkbox"/> <input type="checkbox"/>		16. PROJECT START DATE Year month day 19	
17. PROJECT DURATION Months		18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY Year month day 19		19. EXISTING FEDERAL IDENTIFICATION NUMBER	
20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code) See # 29		21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No		22. THE APPLICANT CERTIFIES THAT: a. To the best of my knowledge and belief, data in this preapplication/application are true and correct; the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved. b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached. (1) <input type="checkbox"/> (2) <input type="checkbox"/>	
23. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE b. SIGNATURE c. DATE SIGNED Year month day 19		24. AGENCY NAME Department of Transportation 25. ORGANIZATIONAL UNIT U.S. Coast Guard 26. ADDRESS Commandant (G-BP-1), U.S. Coast Guard, Wash, D.C. 20593		27. ADMINISTRATIVE OFFICE Boating, Public and Consumer Affairs 28. FEDERAL APPLICATION IDENTIFICATION N/A 29. FEDERAL GRANT IDENTIFICATION	
30. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN		31. FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		32. ACTION DATE Year month day 19 33. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) A. L. HAKES (202) 426-1052 34. STARTING DATE Year month day 19 35. ENDING DATE Year month day 19 36. REMARKS ADDED <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
37. FEDERAL AGENCY A-95 ACTION		38. In taking above action, are comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95. It has been or is being made.		39. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)	

Exhibit 2-1

STANDARD FORM 424 PAGE 1 (10-75)
Prescribed by GSA, Federal Management Circular 14-7

Item

1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.
- 2a. Applicant's own control number, if desired.
- 2b. Date Section I is prepared.
- 3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.
- 3b. Date applicant notified of clearinghouse identifier.
- 4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.
5. Employer identification number of applicant as assigned by Internal Revenue Service.
- 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.
- 6b. Program title from Federal Catalog. Abbreviate if necessary.
7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.
8. Mostly self-explanatory. "City" includes town, township or other municipality.
9. Check the type(s) of assistance requested. The definitions of the terms are:
 - A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.
 - B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).
 - C. Loan. Self explanatory.

Item

- D. Insurance. Self explanatory.
- E. Other. Explain on remarks page.
10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.
11. Estimated number of persons directly benefiting from project.
12. Use appropriate code letter. Definitions are:
 - A. New. A submittal for the first time for a new project.
 - B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.
 - C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).
 - D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.
 - E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.
13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.
- 14a. Self explanatory.
- 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."
15. Complete only for revisions (item 12c), or augmentations (item 12e).

STANDARD FORM 424 PAGE 3 (10-75)

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an Item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

- | | |
|---|---|
| <p>Item</p> <ol style="list-style-type: none"> 1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 procedures from clearinghouse. Applicant will not use "Report of Federal Action" box. 2a. Applicant's own control number, if desired. 2b. Date Section I is prepared. 3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse. 3b. Date applicant notified of clearinghouse identifier. 4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request. 5. Employer identification number of applicant as assigned by Internal Revenue Service. 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code. 6b. Program title from Federal Catalog. Abbreviate if necessary. 7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description. 8. Mostly self-explanatory. "City" includes town, township or other municipality. 9. Check the type(s) of assistance requested. The definitions of the terms are: <ol style="list-style-type: none"> A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant. B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share). C. Loan. Self explanatory. | <p>Item</p> <ol style="list-style-type: none"> D. Insurance. Self explanatory. E. Other. Explain on remarks page. 10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits. 11. Estimated number of persons directly benefiting from project. 12. Use appropriate code letter. Definitions are: <ol style="list-style-type: none"> A. New. A submittal for the first time for a new project. B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year. C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease). D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years. E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged. 13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks. 14a. Self explanatory. 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide." 15. Complete only for revisions (Item 12c), or augmentations (Item 12e). |
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|---|--|
| <p>Item</p> <p>16. Approximate date project expected to begin (usually associated with estimated date of availability of funding).</p> <p>17. Estimated number of months to complete project after Federal funds are available.</p> <p>18. Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in Item 2b.</p> | <p>Item</p> <p>19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".</p> <p>20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.</p> <p>21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.</p> |
|---|--|

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete Items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

- | | |
|---|--|
| <p>Item</p> <p>22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.</p> <p>23a. Name and title of authorized representative of legal applicant.</p> | <p>Item</p> <p>23b. Self explanatory.</p> <p>23c. Self explanatory.</p> <p>Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies.</p> |
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FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

- | | |
|---|--|
| <p>Item</p> <p>24. Executive department or independent agency having program administration responsibility.</p> <p>25. Self explanatory.</p> <p>26. Primary organizational unit below department level having direct program management responsibility.</p> <p>27. Office directly monitoring the program.</p> <p>28. Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.</p> <p>29. Complete address of administering office shown in item 26.</p> <p>30. Use to identify award actions where different from Federal application identifier in item 28.</p> <p>31. Self explanatory. Use remarks section to amplify where appropriate.</p> <p>32. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.</p> <p>33. Date action was taken on this request.</p> <p>34. Date funds will become available.</p> | <p>Item</p> <p>35. Name and telephone no. of agency person who can provide more information regarding this assistance.</p> <p>36. Date after which funds will no longer be available.</p> <p>37. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.</p> <p>38. For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—if same as person shown in item 35, write "same". If not applicable, write "NA".</p> |
|---|--|

Federal Agency Procedures—special considerations

- A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- B. *OMB Circular A-95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- C. *Special note.* In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

STANDARD FORM 424 PAGE 4 (10-75)

• GPO : 1975 O - 310-656 (24-1)

Multi-Purpose Standard Form in Accordance with Federal Management Circular 74-7 (continued)

Exhibit 2-2

This Exhibit is an example of a financial assistance Agreement and its standard Assurances. In addition to this material, an actual Agreement would contain the organization's project proposal and any supporting documents, a schedule of reports and payments, and any unique Assurances.

AGREEMENT BETWEEN
DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD
AND
(ORGANIZATION)

Agreement No. _____

The United States of America (acting through the United States Coast Guard and herein called the Government), pursuant to and for the purpose of carrying out 46 U.S.C. 13103(e) for and on behalf of the United States of America, agrees to pay the Government's share of allowable costs incurred in accomplishing the project described in the project proposal (herein called the project) to the _____ (Organization) (herein called the recipient) subject to the following:

1. Purpose of Agreement. The purpose of this agreement is to provide assistance to the recipient in conducting national boating safety activities considered to be in the public interest.

2. Program. The recipient agrees to undertake and complete the actions proposed in the project in accordance with the Assurances of this Agreement.

3. Allocation. To assist the recipient in financing the project, the government agrees to allocate to the recipient the sum of \$ _____ which will be distributed as outlined in the attached Reporting and Payment Schedule.

4. Certification. I, _____, acting as an authorized representative for the recipient on this _____ day of _____ 1984, do certify that I have examined the Agreement and find that acceptance by the recipient has been authorized and that the execution thereof is proper and in accordance with the bylaws of _____ (Organization) and, following signature, that the Agreement, is a legal obligation of the recipient in accordance with terms thereof. In witness whereof, the recipient has caused this Agreement to be executed in its behalf, and thereafter the Government has caused it to be executed in its behalf, this _____ day of _____ 1984.

ATTEST _____

Title _____

RECIPIENT _____

By _____

Title _____

UNITED STATES OF AMERICA
UNITED STATES COAST GUARD

By _____

Title _____

ASSURANCES

The _____ (Organization) (herein called the recipient) hereby assures and certifies that it will comply with the regulations, policies, guidelines and requirements, including OMB Circulars No. A-110 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations) and A-122 (Cost Principles for Nonprofit Organizations), as they relate to the acceptance and use of Federal funds for this Federally-assisted project. Also, the recipient assures and certifies to the U.S. Coast Guard that:

1. It shall establish and maintain administrative and fiscal practices and policies which conform to generally accepted standards. The recipient shall insure that the accounting system and related controls are operating effectively and that adequate records are being maintained, that allocated funds are being controlled and expended in accordance with the Agreement (See Chapter 3.), and that receipt and expenditure of the funds can be audited without difficulty.

2. It shall comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.

3. It shall furnish reports to the U.S. Coast Guard in accordance with the attached Reporting and Payment Schedule. The following reports will be required at a minimum:

a. financial Status Report (Standard Form 269).

(1) The recipient shall prepare the Financial Status Report on an accrual basis. If its accounting records are not normally kept on an accrual basis, the recipient shall develop such accrual information through best estimates based on an analysis of the documentation on hand.

b. Report of Federal Cash Transactions (Standard Form 272) together with a narrative performance report describing the accomplishments of the boating safety project.

(1) The performance report shall list any nonexpendable personal property (personal property having a useful life of more than one year and an acquisition cost \$300 or more per unit) that was purchased in whole or in part with Federal funds.

4. It shall retain program income earned during the project period. It shall add this income to funds committed to the project and thereby further eligible program objectives.

5. It shall furnish one copy of any audit report performed on recipient's account within 30 days of receipt of such report.

ASSURANCES (cont'd)

6. It shall give the U.S. Coast Guard or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents relating to the assistance.

7. It shall make outlays of allocated Federal funds in general conformity with the proposed actions and estimated costs listed in the project proposal. It shall ensure that time schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved. Substantial deviations from the proposed schedule of actions and costs have to be approved by the U.S. Coast Guard to qualify for payment.

8. It shall act responsibly in matters of safety and shall take all reasonable safety measures in performing project activities. The recipient shall comply with all applicable Federal, State and local laws and regulations governing safety, health and sanitation.

9. It shall ensure that the cost of the program includes only costs that are allowable under OMB Circular A-122. Standard government travel regulations will be used to determine reasonableness of any travel costs.

10. It shall comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the recipient receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.

11. It shall comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (a) the primary purpose of the assistance is to provide employment or (b) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the assistance-aided activity.

12. It Shall comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.

13. It shall comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.

14. It shall establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others particularly those with whom they have family, business, or other ties.

ASSURANCES (cont'd)

15. It shall insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

16. It shall comply with the flood insurance purchase requirements of Section 102 (a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234), approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards.

17. It shall assist the responsible Federal agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470). Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 USC 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the responsible Federal agency of the existence of any such properties, and by (b) complying with all requirements established by the responsible Federal agency to avoid or mitigate adverse effects upon such properties.

18. It shall submit any requests for amendments to the original Agreement in writing using the attached Amendment form.

19. It will comply with all applicable Federal audit requirements.

The U.S. Coast Guard will make payments in accordance with the attached Reporting and Payment Schedule. Approval of each payment is contingent upon (a) the recipient submitting all reports and complying fully with the Agreement; and (b) U.S. Coast Guard determination that cash is being made available only in accordance with the project disbursement needs.

Assurances. (cont'd)

ATTEST	_____	RECIPIENT	_____
Title	_____	By	_____
		Title	_____
		UNITED STATES OF AMERICA	
		UNITED STATES COAST GUARD	
		By	_____
		Title	_____

Exhibit 2-3

Recipient _____

Project Amendment No. _____

AMENDEMENT TO AGREEMENT

This Amendment to Agreement No. _____ is hereby made and agreed upon by the United States of America, acting through the United States Coast Guard, and by the _____ (Organization), pursuant to 46 U.S.C. 131. The recipient and the United States, in mutual consideration of the promises made herein and in the Agreement of which this is an amendment, do promise that the above-mentioned Agreement is amended by the following revision(s):

REVISION

PURPOSE OF REVISION

In all other respects the Agreement of which this is an amendment shall remain in full force and effect. In witness whereof the parties hereto have executed this amendment as of the dates entered below.

ATTEST _____

RECIPIENT _____

Title _____

By _____

Date _____

Title _____

UNITED STATES OF AMERICA
UNITED STATES COAST GUARD

By _____

Title _____

Date _____

CHAPTER 3. ADMINISTRATIVE, FINANCIAL, AND REPORTING REQUIREMENTS

- A. Uniform Requirements. This Instruction incorporates by reference the administrative and reporting requirements of OMB Circular A-110 and the cost principles of OMB Circular A-122.
1. Administrative and Reporting Requirements. OMB Circular A-110 provides uniform administrative requirements for a financial assistance program of this type. The Circular sets forth its requirements in its Attachments which are:
- a. Attachment A - Cash depositories.
 - b. Attachment B - Bonding and insurance.
 - c. Attachment C - Retention and custodial requirements for records.
 - d. Attachment D - Program income.
 - e. Attachment E - Cost sharing and matching.
 - f. Attachment F - Standards for financial management systems.
 - g. Attachment G - Financial reporting requirements.
 - h. Attachment H - Monitoring and reporting program performance.
 - i. Attachment I - Payment requirements.
 - j. Attachment J - Revision of financial plans.
 - k. Attachment K - Closeout procedures.
 - l. Attachment L - Suspension and termination procedures.
 - m. Attachment M - Standard form for applying for federal assistance.
 - n. Attachment N - Property management standards.
 - o. Attachment O - Procurement standards.
2. Cost Principles. OMB Circular A-122 provides principles for determining the costs of work performed by nonprofit organizations. The Circular sets forth its principles and related policy guides in its Attachments which are:
- a. Attachment A - General Principles.
 - b. Attachment B - Selected Items of Cost.
 - c. Attachment C - Nonprofit Organizations not Subject to This Circular.

3.B. Unique Requirements. The remaining sections of this Chapter contain information on the frequency of reports and requirements unique to this program.

1. Financial Reporting Requirements.

- a. Financial Status Report (Exhibit 3-1). An organization shall submit a final Financial Status Report at the completion of the project. It shall prepare this report on an accrual basis. If its accounting records are not normally kept on an accrual basis, the organization shall develop accrual estimates based on an analysis of the documentation on hand.
- b. Report of Federal Cash Transactions (Exhibit 3-2). An organization will submit a Report of Federal Cash Transactions. The Agreement will specify the frequency of the report. The USCG will review these reports to determine the difference, if any, between payments made by Treasury check and project disbursements. USCG approval of each payment is contingent upon submission of these reports.

2. Payment Requirements. The project proposal which becomes a part of the Agreement will include a financial plan (See 2-B-1-e) indicating the proposed schedule of payments required from the USCG. This, along with the submittal of Form SF 270, "Request for Advance Payment", constitutes a request by the organization for funds. The USCG will provide advances by Treasury check in accordance with a predetermined schedule unless the organization fails to comply with the terms in the Agreement or Federal reporting requirements.

- a. A change to the schedule of payments because of unanticipated events may be requested by the organization by submitting an Amendment (Exhibit 2-3).
- b. If an organization does not meet the requirements for an advance by Treasury check, the USCG will notify the organization and give an explanation of what is required to qualify.

3. Reporting Program Expenditures. Organizations shall submit an expenditure report with the Report of Federal Cash Transactions. The report should list any nonexpendable personal property (personal property having a useful life of more than one year and an acquisition cost of \$300 or more per unit) that was purchased in whole or in part with Federal funds.

4. Reporting Project Performance. Organizations shall submit a report on project performance, as stated in the Agreement, including (1) A summary of activities performed during the reporting period; (2) A summary of intentions for the coming period, explaining deviations from the initially approved plan; (3) Any existent or anticipated problems, procedural or financial; and (4) Any other reports as required by the Agreement.

5. Program Income. An organization shall retain program income earned during the project period. It shall add this income to funds committed to the project and thereby further eligible program objectives.

EXHIBIT 3-1

W-1

FINANCIAL STATUS REPORT (Follow instructions on the back)				1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED		2. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER		DHS Approved No. 90-RO180		PAGE OF PAGES		
3. RECIPIENT ORGANIZATION (Name and complete address, including ZIP code)				4. EMPLOYER IDENTIFICATION NUMBER		5. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER		6. FINAL REPORT <input type="checkbox"/> YES <input type="checkbox"/> NO		7. BASIS <input type="checkbox"/> Q <input type="checkbox"/> PM <input type="checkbox"/> ACCRUAL		
				8. PROJECT/GRANT PERIOD (See instructions) FROM (Month, day, year) TO (Month, day, year)		9. PERIOD COVERED BY THIS REPORT FROM (Month, day, year) TO (Month, day, year)						
10. STATUS OF FUNDS												
PROGRAMS/FUNCTIONS/ACTIVITIES -		(a)	(b)	(c)	(d)	(e)	(f)	(g)	TOTAL (g)			
a. Not outlays previously reported		\$	\$	\$	\$	\$	\$	\$				
b. Total outlays this report period												
c. Less: Program income credits												
d. Net outlays this report period (Line b minus line c)												
e. Net outlays to date (Line d plus line c)												
f. Less: Non-Federal share of outlays												
g. Total Federal share of outlays (Line e minus line f)												
h. Total unliquidated obligations												
i. Less: Non-Federal share of unliquidated obligations shown on line h												
j. Federal share of unliquidated obligations												
k. Total Federal share of outlays and unliquidated obligations												
l. Total cumulative amount of Federal funds authorized												
m. Unobligated balance of Federal funds												
11. TYPE OF RATE (Place "X" in appropriate box) <input type="checkbox"/> PROVISIONAL <input type="checkbox"/> PREDETERMINED <input type="checkbox"/> FINAL <input type="checkbox"/> FIXED		12. CERTIFICATION		SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL				DATE REPORT SUBMITTED				
a. RATE		b. DATE		c. TOTAL AMOUNT		d. FEDERAL SHARE		TYPED OR PRINTED NAME AND TITLE				TELEPHONE (Area code, number and extension)
13. REMARKS: Attach any explanations deemed necessary or information required by Federal sponsoring agency to comply with governing legislation.												

709-101

STANDARD FORM 298 (7-79)
Prescribed by Office of Management and Budget
CIRCULAR NO. A-119

FINANCIAL STATUS REPORT

INSTRUCTIONS

Please type or print legibly. Items 1, 2, 3, 6, 7, 9, 10d, 10e, 10g, 10h, 10i, 11a, and 12 are self-explanatory. Specific instructions for other items are as follows:

Item	Entry	Item	Entry
4	Enter the employer identification number assigned by the U.S. Internal Revenue Service or FICE (institution) code, if required by the Federal sponsoring agency.	10c	Enter the amount of all program income realized in this period that is required by the terms and conditions of the Federal award to be deducted from total project costs. For reports prepared on a cash basis, enter the amount of cash income received during the reporting period. For reports prepared on an accrual basis, enter the amount of income earned since the beginning of the reporting period. When the terms or conditions allow program income to be added to the total award, explain in remarks, the source, amount and disposition of the income.
5	This space is reserved for an account number or other identifying numbers that may be assigned by the recipient.	10f	Enter amount pertaining to the non-Federal share of program outlays included in the amount on line e.
8	Enter the month, day, and year of the beginning and ending of this project period. For formula grants that are not awarded on a project basis, show the grant period.	10h	Enter total amount of unliquidated obligations for this project or program, including unliquidated obligations to subgrantees and contractors. Unliquidated obligations are: Cash basis—obligations incurred but not paid. Accrual expenditure basis—obligations incurred but for which an outlay has not been recorded. Do not include any amounts that have been included on lines a through g. On the final report, line h should have a zero balance.
10	The purpose of vertical columns (a) through (f) is to provide financial data for each program, function, and activity in the budget as approved by the Federal sponsoring agency. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right. However, the totals of all programs, functions or activities should be shown in column (g) of the first page. For agreements pertaining to several Catalog of Federal Domestic Assistance programs that do not require a further functional or activity classification breakdown, enter under columns (a) through (f) the title of the program. For grants or other assistance agreements containing multiple programs where one or more programs require a further breakdown by function or activity, use a separate form for each program showing the applicable functions or activities in the separate columns. For grants or other assistance agreements containing several functions or activities which are funded from several programs, prepare a separate form for each activity or function when requested by the Federal sponsoring agency.	10j	Enter the Federal share of unliquidated obligations shown on line h. The amount shown on this line should be the difference between the amounts on lines h and i.
10a	Enter the net outlay. This amount should be the same as the amount reported in Line 10e of the last report. If there has been an adjustment to the amount shown previously, please attach explanation. Show zero if this is the initial report.	10k	Enter the sum of the amounts shown on lines g and j. If the report is final the report should not contain any unliquidated obligations.
10b	Enter the total gross program outlays (less rebates, refunds, and other discounts) for this report period including disbursements of cash realized as program income. For reports that are prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expense charged the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and subgrantees. For reports prepared on an accrual expenditure basis, outlays are the sum of actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contractors, subgrantees, and other payees.	10m	Enter the unobligated balance of Federal funds. This amount should be the difference between lines k and l.
		11b	Enter rate in effect during the reporting period.
		11c	Enter amount of the base to which the rate was applied.
		11d	Enter total amount of indirect cost charged during the report period.
		11e	Enter amount of the Federal share charged during the report period. If more than one rate was applied during the project period, include a separate schedule showing bases against which the indirect cost rates were applied, the respective indirect rates the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date.

STANDARD FORM 289 (BACK) (7-76)

INSTRUCTIONS

FEDERAL CASH TRANSACTIONS REPORT		Approved by Office of Management and Budget No 80-RO182		
(See instructions on the back. If report is for more than one grant or assistance agreement, attach completed Standard Form 272-A)		1 Federal sponsoring agency and organizational element to which this report is submitted		
2. RECIPIENT ORGANIZATION Name : Number and Street : City, State and ZIP Code :		4. Federal grant or other identification number	5. Recipient's account number or identifying number	
		6. Letter of credit number	7. Last payment voucher number	
		Give total number for this period		
		8. Payment Vouchers credited to your account	9. Treasury checks received (whether or not deposited)	
		10. PERIOD COVERED BY THIS REPORT FROM (month, day, year) TO (month, day year)		
3. FEDERAL EMPLOYER IDENTIFICATION NO				
11. STATUS OF FEDERAL CASH (See specific instructions on the back)	a	Cash on hand beginning of reporting period	\$	
	b	Letter of credit withdrawals		
	c	Treasury check payments		
	d	Total receipts (Sum of lines b and c)		
	e	Total cash available (Sum of lines a and d)		
	f	Gross disbursements		
	g	Federal share of program income		
	h	Net disbursements (Line f minus line g)		
	i	Adjustments of prior periods		
	j	Cash on hand end of period	\$	
12. THE AMOUNT SHOWN ON LINE 11J, ABOVE, REPRESENTS CASH REQUIREMENTS FOR THE ENSUING		13. OTHER INFORMATION		
Days		a	Interest income	\$
		b	Advances to subgrantees or subcontractors	\$
14. REMARKS (Attach additional sheets of plain paper, if more space is required)				
15. CERTIFICATION				
I certify to the best of my knowledge and belief that this report is true in all respects and that all disbursements have been made for the purpose and conditions of the grant or agreement	AUTHORIZED CERTIFYING OFFICIAL	SIGNATURE		DATE REPORT SUBMITTED
		TYPED OR PRINTED NAME AND TITLE		
		(Area Code) (Number) (Extension)		
		TELEPHONE		
SPACE FOR AGENCY USE				

INSTRUCTIONS

Please type or print legibly. Items 1, 2, 8, 9, 10, 11d, 11e, 11h, and 15 are self explanatory, specific instructions for other items are as follows:

INSTRUCTIONS

Please type or print legibly. Items 1, 2, 8, 9, 10, 11d, 11e, 11h, and 15 are self explanatory, specific instructions for other items are as follows:

<i>Item</i>	<i>Entry</i>	<i>Entry</i>	<i>Item</i>
3	Enter employer identification number assigned by the U.S. Internal Revenue Service or the FICE (institution) code. If this report covers more than one grant or other agreement, leave items 4 and 5 blank and provide the information on Standard Form 272-A, Report of Federal Cash Transactions—Continued; otherwise;		employee's share of benefits if treated as a direct cost, interdepartmental charges for supplies and services, and the amount to which the recipient is entitled for indirect costs.
4	Enter Federal grant number, agreement number, or other identifying numbers if requested by sponsoring agency.	11g	Enter the Federal share of program income that was required to be used on the project or program by the terms of the grant or agreement.
5	This space reserved for an account number or other identifying number that may be assigned by the recipient.	11i	Enter the amount of all adjustments pertaining to prior periods affecting the ending balance that have not been included in any lines above. Identify each grant or agreement for which adjustment was made, and enter an explanation for each adjustment under "Remarks." Use plain sheets of paper if additional space is required.
6	Enter the letter of credit number that applies to this report. If all advances were made by Treasury check, enter "NA" for not applicable and leave items 7 and 8 blank.	11j	Enter the total amount of Federal cash on hand at the end of the reporting period. This amount should include all funds on deposit, imprest funds, and undeposited funds (line e, less line h, plus or minus line i).
7	Enter the voucher number of the last letter-of-credit payment voucher (Form TUS 5401) that was credited to your account.	12	Enter the estimated number of days until the cash on hand, shown on line 11j, will be expended. If more than three days cash requirements are on hand, provide an explanation under "Remarks" as to why the drawdown was made prematurely, or other reasons for the excess cash. The requirement for the explanation does not apply to prescheduled or automatic advances.
11a	Enter the total amount of Federal cash on hand at the beginning of the reporting period including all of the Federal funds on deposit, imprest funds, and undeposited Treasury checks.	13a	Enter the amount of interest earned on advances of Federal funds but not remitted to the Federal agency. If this includes any amount earned and not remitted to the Federal sponsoring agency for over 60 days, explain under "Remarks." Do not report interest earned on advances to States.
11b	Enter total amount of Federal funds received through payment vouchers (Form TUS 5401) that were credited to your account during the reporting period.	13b	Enter amount of advance to secondary recipients included in item 11h.
11c	Enter the total amount of all Federal funds received during the reporting period through Treasury checks, whether or not deposited.	14	In addition to providing explanations as required above, give additional explanation deemed necessary by the recipient and for information required by the Federal sponsoring agency in compliance with governing legislation. Use plain sheets of paper if additional space is required.
11f	Enter the total Federal cash disbursements, made during the reporting period, including cash received as program income. Disbursements as used here also include the amount of advances and payments less refunds to subgrantees or contractors, the gross amount of direct salaries and wages, including the		

STANDARD FORM 272 (BACK) (7-76)

FEDERAL CASH TRANSACTIONS REPORT INSTRUCTIONS

REQUEST FOR ADVANCE OR REIMBURSEMENT		Approved by Office of Management and Budget, No. 80-RO183		PAGE 87 PAGES	
(See instructions on back) 1. FEDERAL SPENDING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED		2. TYPE OF PAYMENT REQUESTED a. <input type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT b. <input type="checkbox"/> <i>For the applicable line</i> <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL		3. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL	
4. EMPLOYER IDENTIFICATION NUMBER		5. IDENTIFYING ACCOUNT NUMBER OR IDENTIFYING NUMBER		6. PERIOD COVERED BY THIS REQUEST FROM (month, day, year) TO (month, day, year)	
7. EMPLOYMENT ORGANIZATION Name Address and Street City, State, and ZIP Code		8. PAYEE (If Applicable, it is to be used in 8.2 instead of line 8.1) Name Address and Street City, State, and ZIP Code			
9. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED					
PROGRAMS/FUNCTIONS/ACTIVITIES ->	(a)	(b)	(c)	TOTAL	
a. Total program outlays to date (As of date)	\$	\$	\$	\$	
b. Less Cumulative program income					
c. Net program outlays (Less a minus line b)					
d. Estimated net cash outlays for advance period					
e. Total (Sum of lines c & d)					
f. Non Federal share of amount on line e					
g. Federal share of amount on line e					
h. Federal payments previously requested					
i. Federal share now requested (Less g minus line h)					
j. Advances required by month when requested by Federal grantor agency for use in making pre-scheduled advances	1st month	2nd month	3rd month		
10. ALTERNATE COMPUTATION FOR ADVANCES ONLY					
a. Estimated Federal cash outlays that will be made during period covered by the advance				\$	
b. Less Estimated balance of Federal cash on hand as of beginning of advance period					
c. Amount requested (Less a minus line b)				\$	
11. CERTIFICATION					
I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested		SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		DATE REQUEST SUBMITTED	
		TYPED OR PRINTED NAME AND TITLE			
		TELEPHONE	Area Code	Number	Extension
This space for agency use					

870-101 EXHIBIT 3-3

STANDARD FORM 770 (7-76)
Prescribed by Office of Management and Budget
CIRCULAR NO. 8-110

FEDERAL REGISTER, VOL. 41, NO. 148—FRIDAY, JULY 30, 1976

3-8

REQUEST FOR ADVANCE OR REIMBURSEMENT

3-8

INSTRUCTIONS

Please type or print legibly. Items 1, 3, 5, 9, 10, 11c, 11e, 11f, 11g, 11i, 12 and 13 are self-explanatory. Specific instructions for other items are as follows:

Item	Entry	Item	Entry
2	Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advance shall be prepared on a cash basis.		use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.
4	Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement.	11a	Enter in "as of date", the month, day and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contractors, subgrantees and other payees.
6	Enter the employer identification number assigned by the U.S. Internal Revenue Service or the FICE (matrification) code if requested by the Federal agency.	11b	Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.
7	This space is reserved for an account number or other identifying number that may be assigned by the recipient.	11d	Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.
8	Enter the month, day and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested.	13	Complete the certification before submitting this request.
<p>Note: The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in Item 11 can be obtained in a timely manner from other reports.</p>			
11	The purpose of the vertical columns (a), (b), and (c), is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function or activity. If additional columns are needed		

CHAPTER 4. COAST GUARD ADMINISTRATIVE PROCEDURES

- A. Program Director. The Chief, Office of Boating, Public and Consumer Affairs is the authorized Program Director and shall perform the following:
1. For each fiscal year, he shall determine the direction and scope of that year's assistance program, including the overall funding level, program emphasis, and any organizational grants to be made outside the competitive evaluation process.
 2. He shall act as the authorizing officer on behalf of the Coast Guard as the grantor/contractor, and will be responsible for executing formal agreements on behalf of the government.
- B. Program Manager. The Deputy Chief, Office of Boating, Public and Consumer Affairs (G-Bd) will serve as the Chairman of the National Nonprofit Public Service Organization Proposal Review Board (hereafter referred to as the Board) (Exhibit 4-1). The Board will evaluate all project proposals submitted to it and make recommendations to the Program Director regarding project selection.
- C. Staff Responsibilities.
1. Chief, Policy Planning and Evaluation Staff. The Chief, Policy Planning and Evaluation Staff shall perform the following:
 - a. Upon direction of the Program Manager, he shall initiate formal Program notification procedures, which may include, but is not limited to, Federal Register Notices, Commerce Business Daily notices, Boating Safety Circular articles, news releases, and mailings to potentially eligible organizations.
 - b. He shall conduct a review of all organizations submitting proposals to ensure their eligibility for funding.
 - c. He shall serve as a member of the Board.
 - d. He shall provide staff support to the Board, including preparation of proposals for their review.
 - e. Pursuant to Board decisions on project funding, he shall prepare Agreements for those organizations whose projects are selected for funding. He shall ensure that both the organizations and their projects meet Federal guidelines as established in OMB Circulars A-110 and A-122, and other Federal regulations and instructions.
 - f. After the Agreements are signed, he shall provide administrative support, including:
 - (1) Providing or designating a technical project manager for each project selected for funding;

4.B.1.e. (cont'd)

- (2) Maintaining Program files;
 - (3) Reviewing organization payment requests and progress reports, and authorizing predetermined payments. Recommending to the Program Manager individuals to act as Project Managers to exercise technical oversight of individual projects within the scope of the applicable grant proposal. Project Managers are individually accountable to G-Bd through G-BP.
 - (4) At the termination of project activities, ensuring all required closeout activities are accomplished, including but not limited to, audits, final payments and review and approval of final reports.
2. Chief, Boating Safety Division. The Chief, Boating Safety Division (G-BBS) shall perform the following:
- a. Upon direction from the Program Director, transfer money from the National Recreational Boating Safety and Facilities Improvement Fund to the National Nonprofit Public Service Organization Assistance Program in the amount(s) so designated (See 4.A.1.) for each fiscal year.
 - b. Review the cost proposal portions of the grant proposals and advise G-BP on the legality and validity of the cost items. Review the financial plan portions of the grant agreements.
 - c. Serve as a member of the Board.
 - d. Provide technical Project Managers upon request. Project Managers will monitor the technical aspects of the projects, ensuring timely and effective project activities and report submissions. Among other projects, G-BBS will provide Project Managers for any related to State boating safety programs, including those involving the National Association of State Boating Law Administrators (NASBLA).
3. Other Office staffs/divisions shall provide Project Managers and other support as required.

Exhibit 4-1

INSTRUCTIONS FOR EVALUATING, RANKING AND SELECTING PROJECT
PROPOSALS FROM NATIONAL NONPROFIT PUBLIC SERVICE ORGANIZATIONS

1. PURPOSE. This exhibit defines the National Nonprofit Public Service Organization Proposal Review Board and the uniform procedures for evaluating, ranking and selecting proposals submitted by the various organizations desiring financial assistance.
2. Implementation.
 - A. The National Nonprofit Public Service Organization Proposal Review Board (the "Board") is chaired by the Deputy Chief, Office of Boating, Public and Consumer Affairs. Members include the Chief, Boating Safety Division, and the Chief, Policy Planning and Evaluation Staff. All members have an equal vote. Staff and administrative support is supplied by the Program Development and Analysis Branch (G-BP-1). The Board evaluates project proposals from eligible organizations and recommends projects to be funded to the Program Director. The Chairman reviews the members' recommendations and makes selection decisions where members disagree.
 - B. A formal rating procedure has been adopted to provide guidance to aid in making subsequent decisions on the selection of proposals and the allocation of funds to accomplish these projects. The criteria against which proposals are rated are grouped into two categories:
 - Feasibility (Probability of Success). An estimate of overall likelihood of achieving the stated project goals. This includes consideration of:
 - *The likelihood of the activity leading to the desired results;
 - *The technical and managerial competence of the staff and the adequacy of equipment and laboratory resources, and its organizational capacity to perform the proposed project as evidenced by its previous successful completion of work similar to that proposed for funding;
 - *The reasonableness and consistency of the timetables and milestones relative to the available resources;
 - *The adequacy of specific delivery systems to ensure that the output is used.

-Impact/Cost. An estimate of external consequences and projected benefits of the project's output in relation to its cost. It includes consideration of:

*The value of the intended output to nationwide recreational boating safety including the likelihood of the project spurring other beneficial actions and its consistency with the direction of the National Recreational Boating Safety Program;

*Project cost and proposals for cost-sharing.

3. Rating Procedures.

- A. Ratings of impact and feasibility for proposals are made by each Board member. Rating forms are provided for recording ratings (Figure A.1.). Ratings of Impact and Feasibility are entered separately. The rating scale for both sets of criteria is a relative one from 1 (low) to 5 (high) with three (3) representing the rater's best estimate of the norm. In averaging the ratings, rounding is carried to the nearest whole number.

FIGURE A.1

PROPOSED PROJECT PROPOSAL RATING FOR FY__

Proposed Project's Name:_____ Rater:_____

RATING:_____

<u>Parameter</u>	<u>Rating</u>
(Feasibility*)	_____
(Impact)	_____

*Probability of success.

Record your evaluations on a scale of 1 (low) to 5 (high). Reverse side is for written remarks; check here if used. _____

Ratings are to be based on the rater's judgment as to how well the proposed project meets all the criteria listed for Impact or Feasibility. There has been no attempt to preassign different values (weights) to the individual criteria.

B. Board Actions

G-BP provides Board members with a copy of each proposal received from eligible organizations at least two weeks prior to the meeting of the Board for its annual evaluation. Each Board member completes one rating form for each proposal for use in Board discussions on the rating and ranking of proposals.

A Board meeting is then held for consolidating results and making recommendations. G-BP then prepares a final report, with proposal and funding level recommendations, for submission to the Chief, Office of Boating, Public and Consumer Affairs who makes final judgement.

Using the rating results of the Board as a guide, the Office Chief either selects the proposals recommended, in whole or in part, does not select them, or defers action for such reasons as lack of funds or a need for further review. A proposal which is deferred or not selected for funding is not precluded from reconsideration or resubmission.

G-BP notifies the applying organization in writing of the disposition of the application. A notification of award is issued to notify the applicant of a proposal selected for funding, and Agreement negotiations commence.